

## INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NUMBER DP-307433 SERIAL NUMBER \_\_\_\_\_ FILED \_\_\_\_\_  
FIRST INVENTOR: Kaufmann, et al. TITLE WATERCRAFT STEER-BY-WIRE SYSTEM

EXAMINER \_\_\_\_\_

ART UNIT \_\_\_\_\_

1. ☒ Applicant submits herewith a copy of (a) attached form PTO-1449, which lists all patents, publications, applications, or other information submitted for consideration by the Office; (b) a legible copy of each document required by 37 C.F.R. §1.98(b)(2).
2. ☐ Applicant herein apprises the Patent Office of references cited in a parent U.S. application from which this application obtains the benefit of an earlier filing date under 35 U.S.C. §120. The Serial Number of the parent application is U.S. Application \_\_\_\_\_ filed \_\_\_\_\_ and entitled \_\_\_\_\_.  
The publications cited therein are listed on attached Form PTO-1449. In accordance with 37 C.F.R. §1.98(d) copies of the listed publications are not required. ☐ Additional parent patent applications are listed on an attached sheet.
3. ☐ In accordance with 37 C.F.R. §1.98(a)(3), Applicant hereby certifies that for each reference not in English (check at least one box below):  
☐ A copy of a translation of one or more non-English document, or portion thereof, is provided herewith;  
☐ A concise explanation is (check at least one box below):  
☐ provided in the accompanying foreign or international search report; ☐ incorporated into the specification; and/or ☐ provided herewith.

### 37 C.F.R. §1.97(b)(1), (b)(2) – WITHIN 3 MONTHS OF FILING OR ENTRY IN NATIONAL STAGE

4. ☒ Since this Information Disclosure Statement is being filed within three months of the filing date of the subject application or within three months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application, no fee or certification under 37 C.F.R. §1.97(e) is required.

### 37 C.F.R. §1.97(b)(3), (b)(4) – PRIOR TO MAILING OF FIRST OFFICE ACTION OR FIRST ACTION AFTER REQUEST FOR CONTINUED EXAMINATION

5. ☐ Since this Information Disclosure Statement is being filed before the mailing date of the first Office Action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under 37 C.F.R. §1.114, no fee or certification under 37 C.F.R. §1.97(e) is required.

### 37 C.F.R. §1.97(c) – AFTER FIRST ACTION, BEFORE FINAL ACTION OR ALLOWANCE

6. ☐ Since this Information Disclosure Statement is being filed outside of the period provided for in 37 C.F.R. §1.97(b), but before the mailing date of a Final Rejection or Notice of Allowance, this submission is being accompanied by (one of the following boxes must be checked):
- a. ☐ the fee required under 37 C.F.R. §1.97(c)(2) and specified in 37 C.F.R. §1.17(p).
- b. ☐ the statement specified in 37 C.F.R. §1.97(e) (Box 8 or 9 must be checked).

### 37 C.F.R. §1.97(d) – AFTER FINAL REJECTION OR ALLOWANCE

7. ☐ Since this Information Disclosure Statement is being filed after the period specified in 37 C.F.R. §1.97(c), but on or before payment of the issue fee and is accompanied by both the statement specified in 37 C.F.R. §1.97(e) and the fee set forth in 37 C.F.R. §1.17(p). (Box 8 or 9 must be checked.)
8. ☐ In accordance with 37 C.F.R. §1.97(e)(1), Applicant's attorney certifies that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. ☐ The foreign or international search report(s) is/are enclosed.
9. ☐ In accordance with 37 C.F.R. §1.97(e)(2), Applicant's attorney certifies that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of the information disclosure statement.
10. ☒ In the event the Commissioner of Patents deems that any additional fee is required under 37 C.F.R. §§ 1.16 or 1.17 in connection with this application, Applicant's attorneys authorize that such fee be charged to Deposit Account No. 06-1130.
11. Consideration of this Information Disclosure Statement is respectfully requested.

|   |                           |                     |                        |
|---|---------------------------|---------------------|------------------------|
| Name:   | <b>TROY J. LAMONTAGNE</b> | Registration Number | <b>47,239</b>          |
| Signature   | <i>Troy J. Lamontagne</i> | Date                | <b>AUGUST 19, 2003</b> |
| CERTIFICATE OF MAILING OR TRANSMISSION: I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or [ ] facsimile transmitted to the Patent and Trademark Office to Facsimile No. _____ on the date shown below. |                           |                     |                        |
| Name  | <b>NIDIA M. DERAS</b>     | Date                | <b>AUGUST 19, 2003</b> |
| Signature   | <i>Nidia M. Deras</i>     |                     |                        |



## INFORMATION DISCLOSURE CITATION WITH DOCUMENT COPIES

Submitted by:

TROY J. LAMONTAGNE  
Cantor Colburn LLP

Reg. No. 47,239

Atty. Docket No.

DP-307433/DP-309396

Serial No.

Applicant

Timothy W. Kaufmann, et al.

Filing Date

Group

## U.S. PATENT DOCUMENTS

| Exam.<br>Init. | Document<br>Number | Date       | Name              | Class | Sub<br>Class | Filing Date<br>(if approp.) |
|----------------|--------------------|------------|-------------------|-------|--------------|-----------------------------|
|                | 4,800,974          | 01/31/1989 | Wand et al.       | 180   | 79.1         | 10/23/1985                  |
|                | 4,860,844          | 08/29/1989 | O'Neil            | 180   | 79.1         | 04/29/1988                  |
|                | 5,228,757          | 07/20/1993 | Ito et al.        | 303   | 100          | 06/28/1991                  |
|                | 5,251,135          | 10/05/1993 | Serizawa et al.   | 364   | 424.05       | 09/24/1991                  |
|                | 5,257,828          | 11/02/1993 | Miller et al.     | 180   | 79.1         | 06/03/1992                  |
|                | 5,347,458          | 09/13/1994 | Serizawa et al.   | 364   | 424.05       | 09/24/1991                  |
|                | 5,374,877          | 12/20/1994 | Imaseki et al.    | 318   | 34           | 07/26/1993                  |
|                | 5,475,289          | 12/12/1995 | McLaughlin et al. | 318   | 432          | 11/04/1994                  |
|                | 5,576,957          | 11/19/1996 | Asanuma et al.    | 364   | 424.05       | 03/01/1995                  |

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| Document<br>Number | Date       | Country                     | Class    | Subclass | Translation<br>Yes   No |
|--------------------|------------|-----------------------------|----------|----------|-------------------------|
| UK 2341588A        | 22-02-2000 | Great Britain               | B62D5/32 |          | X                       |
| JP 1115778         |            | Japan with English abstract |          |          | X                       |
| 00/34106           | 15-06-2000 | WO                          | B62D1/06 |          | X                       |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

J.Y. Wong, Ph.D., "Chapter Five: Handling Characteristics of Road Vehicles," Theory of Ground Vehicles, 1978, pages 210 - 214.

Examiner

Date Considered

\*Examiner: Initial if reference considered whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Signature: *Nidia M. Deas*

Name: Nidia M. Deas



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|----------------|--------------------|------------|-----------------|-------|--------------|-----------------------------|
|                | 5,653,304          | 08/05/1997 | Renfro          | 180   | 402          | 06/06/1995                  |
|                | 5,668,722          | 09/16/1997 | Kaufmann et al. | 701   | 41           | 10/02/1995                  |
|                | 5,740,040          | 04/14/1998 | Kifuku et al.   | 364   | 424.05       | 11/28/1995                  |
|                | 5,828,972          | 10/27/1998 | Asanuma et al.  | 701   | 41           | 09/23/1992                  |
|                | 5,829,547          | 11/03/1998 | Fujii et al.    | 180   | 422          | 06/24/1996                  |
|                | 5,925,083          | 07/20/1999 | Ackermann       | 701   | 41           | 12/08/1997                  |
|                | 5,957,987          | 09/28/1999 | Sudo et al      | 701   | 41           | 06/19/1997                  |
|                | 6,018,691          | 01/25/2000 | Yamamoto et al. | 701   | 41           | 03/25/1994                  |
| ✓              | 6,059,068          | 05/09/2000 | Kato et al.     | 180   | 402          | 12/18/1997                  |
| ✓              | 6,076,627          | 06/20/2000 | Bohner et al    | 180   | 422          | 10/31/1996                  |
|                | 6,097,286          | 08/01/2000 | Discenzo        | 340   | 465          | 09/30/1997                  |

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| Document<br>Number | Date       | Country                      | Class    | Subclass | Translation<br>Yes   No |
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| JP60259570         | 1985-12-21 | Japan with English abstract  | B62D7/14 |          | X                       |
| EP0985591A1        | 11-08-1999 | Europe with English abstract |          |          | X                       |
| EP0858408B1        | 31-10-1996 | Europe with English abstract |          |          | X                       |

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

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Name: Nidia M. Deras

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|                | 6,098,296          | 08/08/2000 | Perisho, Jr. et al. | 33    | 203          | 12/03/1998                  |
|                | 6,102,151          | 08/15/2000 | Shimizu et al.      | 180   | 446          | 07/10/1998                  |
|                | 6,152,254          | 11/28/2000 | Phillips            | 180   | 422          | 10/26/1998                  |
| +              | 6,173,221          | 01/09/2001 | Boehringer et al    | 701   | 41           | 01/09/2001                  |
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| —              | US6,213,248B1      | 04/10/2001 | Kawaguchi et al     | 180   | 446          | 01/20/1998                  |
|                | US6,219,604B1      | 04/17/2001 | Dilger et al.       | 701   | 41           | 12/28/1999                  |
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| JP8034353          | 1996-02-06 | Japan with English abstract | B62D1/12 |          | X                       |
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**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

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|                | US6,279,674B1      | 08/28/2001 | Lissel et al.    | 180   | 402          | 08/11/1997                  |
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|                | US6,283,243B1      | 09/04/2001 | Bohner et al.    | 180   | 406          | 09/17/1999                  |
|                | US6,285,936B1      | 09/04/2001 | Bohner et al.    | 701   | 41           | 09/17/1999                  |
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|                | US2002/0084757A1   | 07/04/2002 | Ewbank et al.    | 318   | 34           | 12/29/2000                  |
|                | US2002/0107621A1   | 08/08/2002 | Byers et al.     | 701   | 41           | 02/02/2001                  |

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| Document<br>Number | Date | Country | Class | Subclass | Translation<br>Yes   No |
|--------------------|------|---------|-------|----------|-------------------------|
|                    |      |         |       |          |                         |
|                    |      |         |       |          |                         |
|                    |      |         |       |          |                         |

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

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Date: 8/19/03

Signature: *Nidia M. Deras*  
 Name: Nidia M. Deras

THE STAMP OF THE PATENT OFFICE, PLACED HEREON, ACKNOWLEDGES RECEIPT OF:

Attorney Docket No.: DP-327433 (DE3-CASO-P)

Date Mailed: August 19, 2003

Applicant: Kaufmann, et al

Serial No.: \_\_\_\_\_

Filed: \_\_\_\_\_

For: Watercraft Sleepdown System

03915 U.S. P  
10/643512



08/19/03

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|--|--|
| <input type="checkbox"/> Affidavit or <input type="checkbox"/> Declaration   | <input checked="" type="checkbox"/> Check for Filing Fee \$ <u>2416.00</u>                     |
| <input checked="" type="checkbox"/> Application for Patent including<br><u>53</u> pages spec., <u>92</u> claims                                    | <input type="checkbox"/> Amendment/Response To Office Action                                   |
| <input checked="" type="checkbox"/> Declaration and Power of Attorney or <input type="checkbox"/> Oath   | <input type="checkbox"/> Brief, _____ copies   |
| <input type="checkbox"/> Application for Intent-To-Use TM/SM   | <input checked="" type="checkbox"/> Assignment, check for \$ <u>40.00</u>                      |
| <input type="checkbox"/> Application for TM/SM Reg. w/specimens  | <input checked="" type="checkbox"/> Assignment Recordation Cover Sheet                         |
| <input checked="" type="checkbox"/> Certificate of Express Mail 37 CFR 1.10<br>Express Mail No. <u>920322405</u>                                   | <input type="checkbox"/> Power of Attorney by Assignee   |
| <input checked="" type="checkbox"/> Information Disclosure Statement   | <input type="checkbox"/> Certificate of Mailing Under 37 CFR 1.8(a)                            |
| <input checked="" type="checkbox"/> PTO Form 1449, <input checked="" type="checkbox"/> publications enclosed                                       | <input type="checkbox"/> Declaration Under Section 8 & 15                                      |
| <input type="checkbox"/> Power of Attorney   | <input checked="" type="checkbox"/> Drawings: <u>5</u> sheets                                  |
| <input type="checkbox"/> Req. for Filing <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional<br>Application Under 37 CR 1.60 | <input checked="" type="checkbox"/> Formal or <input type="checkbox"/> Informal                |
| <input type="checkbox"/> Verified Statement to Establish Small Entity Status   | <input type="checkbox"/> Issue Fee Transmittal   |
| <input type="checkbox"/> Request for Drawing Correction  | <input type="checkbox"/> Notice of Appeal  |
| <input type="checkbox"/> Transmittal Letter (in duplicate)   | <input type="checkbox"/> Petition for Extension of Time (____) mo<br>  with check for \$ _____ |
| <input checked="" type="checkbox"/> Other: <u>Initial Patent Application Transmittal</u>   | <input type="checkbox"/> Priority Document   |
|  | <input type="checkbox"/> Renewal Application TM/SM   |